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**TO** OIPE Customer Service  
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**FROM:** Mark H. Hopkins **EXTENSION:** 825  
**PAGES (INCLUDING THIS PAGE):** 6 **CLIENT NO:** 29171  
**MATTER NO:** 36823A  
**PLEASE CONFIRM RECEIPT:** Yes **COUNTRY CODE:** US

**MESSAGE:** Pursuant to the Notice Concerning Patent Applications submitted to USPTO between 9/11/01 and 12/01/01 via the U.S. Postal Service, attached are papers indicating that this Express Mail Application was filed by Express Mail to BOX PCT on November 13, 2001. The USPS has been unable to confirm delivery. Attached are the transmittal and express mail documents to verify application was forwarded to the USPTO. Please advise us as to the status of this application so we may re-file if necessary including a petition under 37 CFR 1.10(e). Thank you.

*Please contact Terre Robertson at (312) 312-474-6825 if you do not receive all of the pages in good condition.*

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**MARSHALL, GERSTEIN & BORUN**  
6300 Sears Tower  
Chicago, IL 60606

**EXPRESS MAIL # EL 5664464455 US**  
**MAILED NOVEMBER 13, 2001**

Our Docket Number: 29171/36823A

Applicants: Nongjian Tao et al.

Title: Surface Plasmon Resonance Detection with High Angular  
Resolution and Fast Response Time

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Status: National phase --371 Application claiming priority to  
Provisional Serial No. 60/134,482

Our bank account #: 333 576 7 Harris Trust and Savings Bank, Chicago, IL

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Check # 68240 \$40 for Assignment Recordal

Check # 68223 \$221 for filing fee

EL 564464455US PATENT APPLICATION  
Attorney Docket No. 29171/36823A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

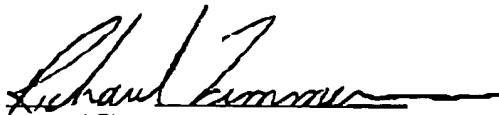
Applicants: Tao et al. )  
)  
U.S. National Phase of PCT/US00/13283 )  
filed 16 May 2000 )  
)  
Filed: Herewith )  
)  
For: SURFACE PLASMON RESO- )  
NANCE DETECTION WITH HIGH AN- )  
GULAR )  
RESOLUTION AND FAST RESPONSE )  
TIME )  
)  
Group Art Unit: Unassigned )  
)  
Examiner: Unassigned )  
)  
Attorney Docket No. 29171/36823A

CERTIFICATION UNDER 37 CFR 1.10

Box PCT  
Commissioner for Patents  
Washington, D.C. 20231

I hereby certify the attached items are being deposited with the United States Postal Service on November 13, 2001 in an envelope addressed to Box PCT, Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing No. EL 564 464 455 US:

- a. Transmittal letter to the United States Designated/Elected Office (DO/EO/US) concerning a filing under 35 U.S.C. 371;
- b. Declaration from Inventors;
- c. PTO-FORM 1595 and Assignment from Inventors with check in the amount of \$40.00 for recordation fee;
- d. Preliminary Amendment dated November 13, 2001;
- e. Written Opinion;
- f. Return receipt post card;
- g. A check in the amount of \$221.00.

  
Richard Zimmermann

Date: November 13, 2001

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		29171/36823A U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR
INTERNATIONAL APPLICATION NO. PCT/US00/13283	INTERNATIONAL FILING DATE 16 May 2000	PRIORITY DATE CLAIMED 17 May 1999
TITLE OF INVENTION SURFACE PLASMON RESONANCE DETECTION WITH HIGH ANGULAR RESOLUTION AND FAST RESPONSE TIME		
APPLICANT(S) FOR DO/EO/US Tao et al.		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"><li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li><li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li><li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li><li>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li><li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2)).<ol style="list-style-type: none"><li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li><li>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).<ol style="list-style-type: none"><li>a. <input type="checkbox"/> is attached hereto.</li><li>b. <input checked="" type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li></ol></li><li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)).<ol style="list-style-type: none"><li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li><li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li><li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li>d. <input type="checkbox"/> have not been made and will not be made.</li></ol></li><li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li><li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li><li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li><li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li><li>12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li></ol> <p>Items 13 to 20 below concern document(s) or information included:</p> <ol style="list-style-type: none"><li>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98</li><li>14. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li><li>15. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li><li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li><li>17. <input type="checkbox"/> A substitute specification.</li><li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li><li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li><li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li><li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li><li>22. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</li><li>23. <input checked="" type="checkbox"/> Other items or information:</li></ol> <p>Return receipt post card; Written Opinion; PTO-FORM 1595 and a check in the amount of \$40.00.</p>		

24. The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1040.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00
- ☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00
- ☒ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =****\$100.00**

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

**\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	39 - 20 =	19	x \$18.00	<b>\$342.00</b>	
Independent claims	2 - 3 =	0	x \$84.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>	

**TOTAL OF ABOVE CALCULATIONS =****\$442.00**

- ☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

**\$221.00****SUBTOTAL =****\$221.00**

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f))

**\$0.00****TOTAL NATIONAL FEE =****\$221.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). ☐

**\$0.00****TOTAL FEES ENCLOSED =****\$221.00**

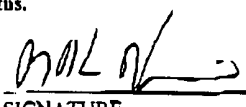
Amount to be refunded	\$
charged	\$

- a. ☒ A check in the amount of **\$221.00** to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **13-2855**. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

Mark H. Hopkins  
**MARSHALL, GERSTEIN & BORUN**  
 Customer Number: 04743  
 6300 Sears Tower  
 233 South Wacker Drive  
 Chicago, Illinois 60606  
 United States of America

  
 SIGNATURE

Mark H. Hopkins

NAME

44,775

REGISTRATION NUMBER

13 November 2001

DATE